

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Identification of and Response to Congressional Reporting Requirements

Office of Legislative Affairs

Office Work Instruction

Identification of and Response to
Congressional Reporting Requirements

Original Approved by: s/ _____
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Associate Administrator
Office of Legislative Affairs

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DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/10/1999	
Revision	A	5/10/2000	Add procedure for responses requiring the NASA Administrator's signature; clarify procedure regarding due dates.
Revision	B	8/3/2000	Made revisions based on review of ISO 9001 Quality System Scope Expansion and Surveillance Audits Systemic Analysis 6/15/00 Checklist. Added more detailed workmanship criteria, a quality record, and an appendix to record transactions completed during the process.

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1. Purpose

The purpose of this procedure is to define the process for identifying and responding to Congressional direction contained in Congressional Committee reports and Public Laws regarding the subject of reporting requirements.

2. Scope and Applicability

This OWI covers the process by which Code LB, in the Office of Legislative Affairs, reviews Congressional bills, reports, and Public Laws for NASA reporting requirements and associated due dates. It also covers the process for assigning actions to the program office(s) to develop the response to Congressional direction, clearance of the material, transmittal to Congress, and maintaining a record of the action.

3. Definitions

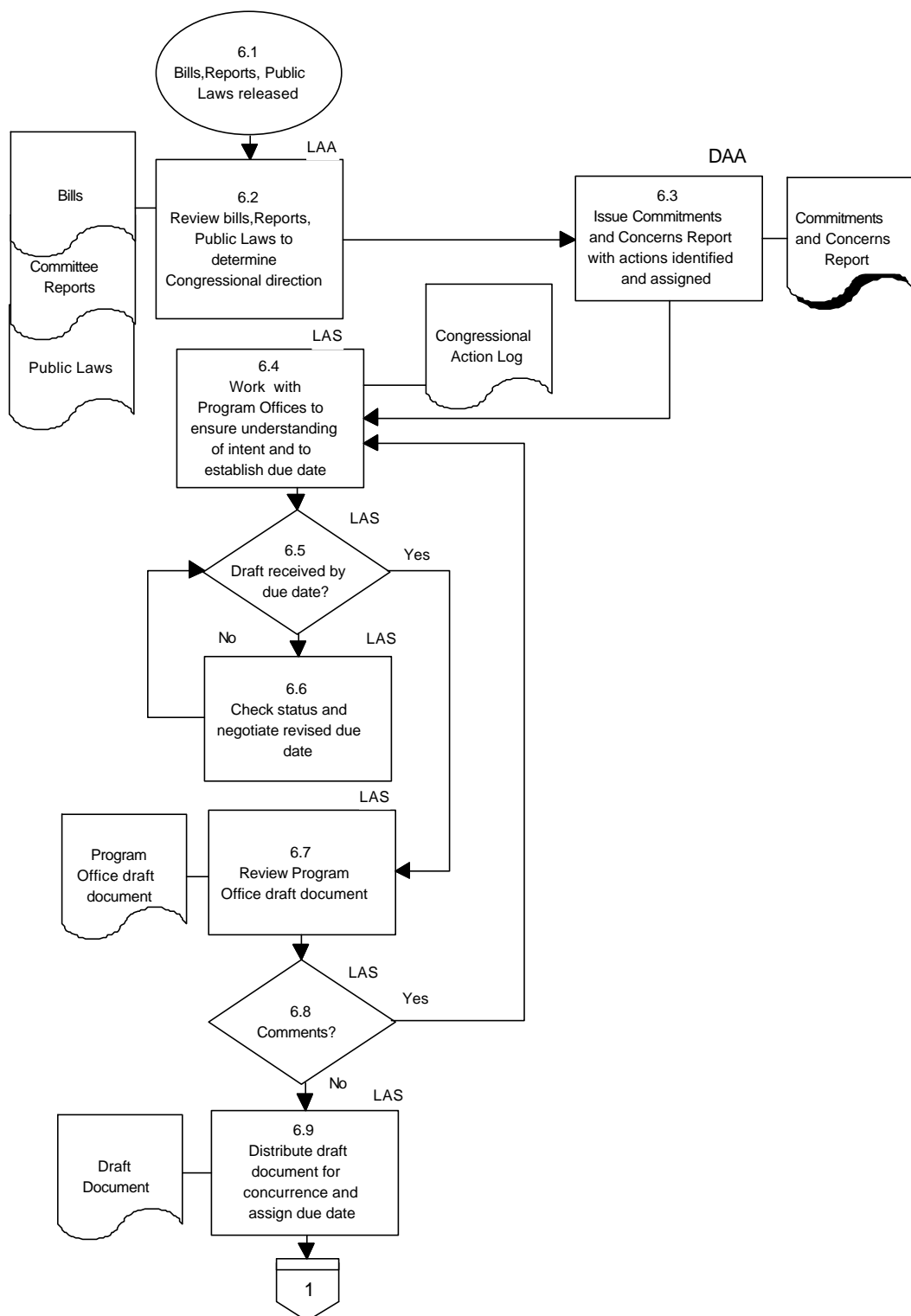
- 3.0 AA: Associate Administrator, Office of Legislative Affairs
- 3.1 ADS: Action Document Summary
- 3.2 CC: Correspondence Clerk
- 3.3 Code B: Office of the Comptroller
- 3.4 LAA: Legislative Affairs Assistant
- 3.5 LAS: Legislative Affairs Specialist
- 3.6 Code LB: Office of Legislative Affairs/Liaison Division
- 3.7 Code LD: Office of Legislative Affairs/Inquiries Division
- 3.8 Commitments and Concerns Report: Document issued by the Deputy Associate Administrator, Legislative Affairs, which lists Congressional direction contained in Congressional reports, bill and public laws. Document contains Congressional source document, responsible program office, actionee within Code LB, and due date to Congress.
- 3.9 DAA: Deputy Associate Administrator
- 3.10 DMS: Document Management System
- 3.11 HATS: Headquarters Action Tracking System
- 3.12 OMB: Office of Management and Budget
- 3.13 PL: Public Law
- 3.14 Yellow copy: File copy of correspondence on which approvals noted

4. References

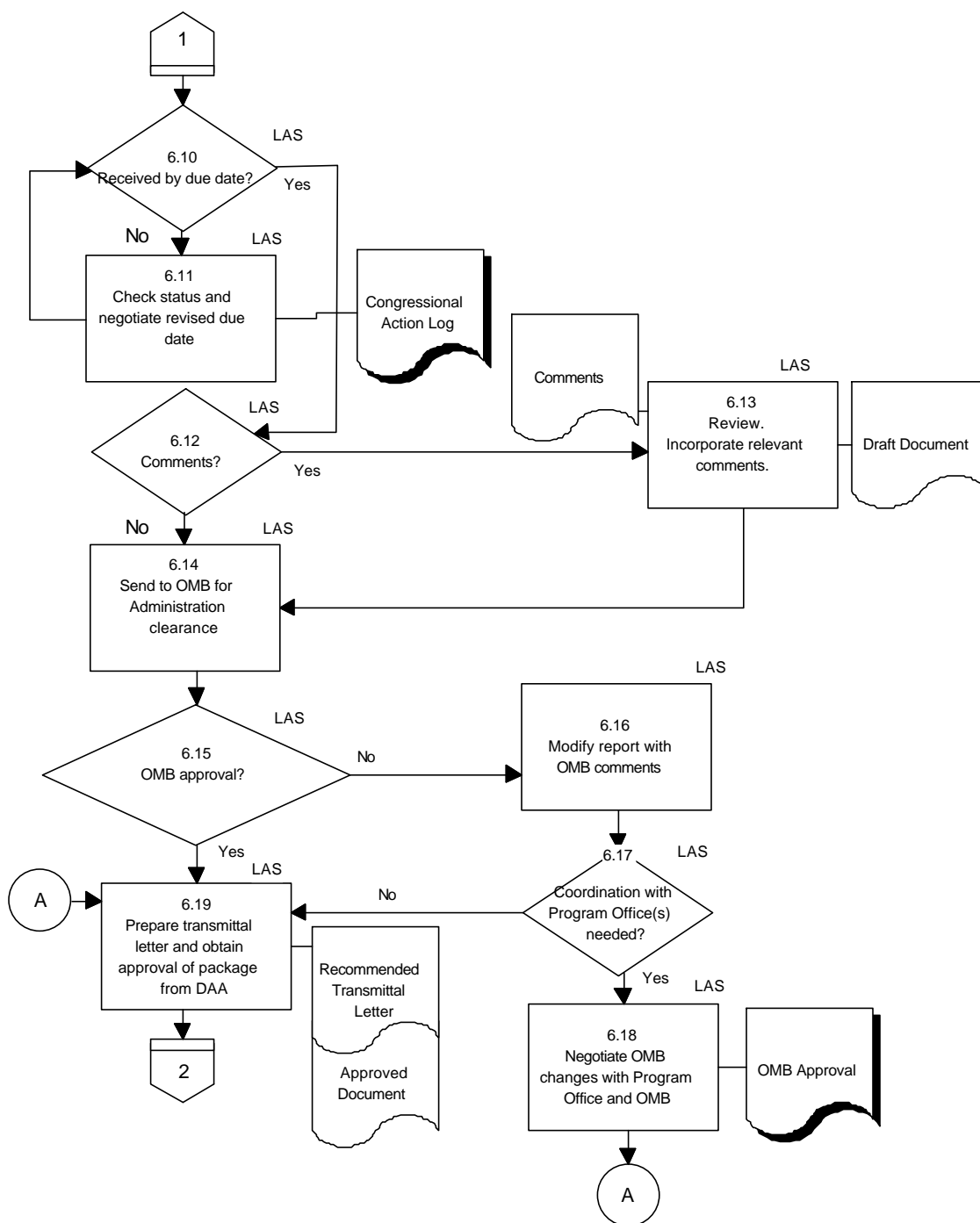
None

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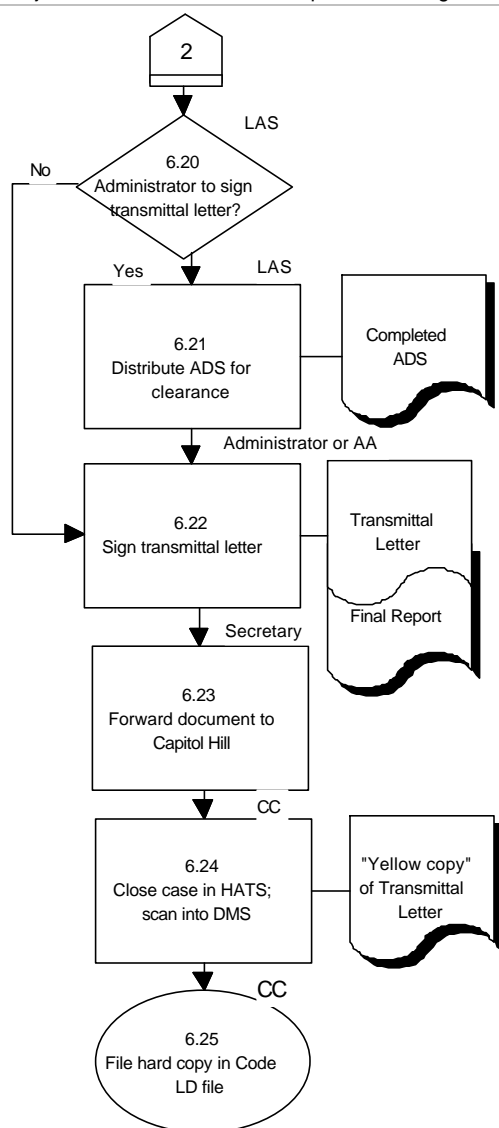
5. Flowchart



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6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1		Bills, Reports and Public Laws enacted and released.
6.2	LAA	Read bills, Committee Reports, and/or P.L. to determine if Congressional direction to the Agency exists in the documents.
6.3	DAA	Deputy Associate Administrator issues formal Commitments and Concerns Report. Secretary sends document to all Officials in Charge and NASA Centers.
6.4	LAS	Work with program office assigned responsibility for Congressional report to ensure understanding of Congressional intent. Establish timeline for completion of draft report submittal to Code LB. Due date is determined by date report is required to be submitted to Congress per direction contained in bill or report language and the lead time required for completion of the report. Make notation of due date that draft report is due to Code LB on Congressional Action Log Sheet (Appendix A) which is kept by each LAS in Code LB. Schedule meeting to provide guidance to program office regarding Congressional intent or direction if necessary.
6.5	LAS	Determine if draft report received by due date. If draft report submitted by due date, proceed to step 6.7. If due date missed, proceed to step 6.6
6.6	LAS	Check status of report and negotiate revised due date. Note revised due date on Congressional Action Log Sheet. Proceed to step 6.5,
6.7	LAS	Review draft report submitted by program office to determine if document satisfies Congressional intent and is responsive to Congressional concerns.
6.8	LAS	Determine if changes required to report. Provide comments on report to program office if problems noted. If follow-up is required, return report to program office for further clarification and modification and follow guidance in step 6.4. If report is deemed acceptable based on report contents, Congressional language, and based on LAS judgment, experience and programmatic knowledge, proceed to step 6.9.
6.9	LAS	Distribute report to Codes with subject matter expertise and Code B for concurrence and assign due date. Due date is determined by the leadtime needed to ensure the report is submitted to the Congress as stipulated in bill or report language.

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| 6.10 | LAS | Determine if concurrence is received by due date. If so, proceed to step 6.12. If report not received by due date, proceed to step 6.11. |
| 6.11 | LAS | Check status of report and negotiate revised due date. Note revised due date on Congressional Action Log Sheet. Proceed to step 6.10. |
| 6.12 | LAS | Determine if comments have been received. If comments received proceed to step 6.13. |
| 6.13 | LAS | Review comments to report. Make determination of whether to accept comments. LAS determination is based on judgement, knowledge of program, and experience. Inform codes when comments not accepted or negotiations/clarification required. Incorporate comments in report. Note date comments received in Code L and note disposition of comments on comments document received from codes. |
| 6.14 | LAS | Send report to OMB for Administration concurrence with due date that factors in the lead-time needed to get the report to Congress by the date due. |
| 6.15 | LAS | Determine if OMB clearance of report has been received. If OMB clears report, proceed to step 6.19. If OMB approval not received and comments recommended, proceed to 6.16. |
| 6.16 | LAS | Modify Report with OMB comments. Proceed to step 6.17 |
| 6.17 | LAS | Determine if coordination with program office is required. If coordination is not required, go to step 6.19. If coordination is required go to step 6.18. Determination of whether coordination is required is based on whether or not comments are substantive or minor. The determination is based on LAS judgment, knowledge of program, Congressional intent and LAS experience. |
| 6.18 | LAS | Negotiate OMB changes with program office and OMB. Incorporate negotiated changes in report. Notation of OMB approval is made on the "yellow" copy of the package if signed by the AA or on the ADS if transmittal signed by the Administrator. |
| 6.19 | LAS | Prepare transmittal letter and obtain approval from DAA. Both LAS and DAA indicate approval by initialing "yellow copy" (file copy) of document. Concurrences from other codes and OMB are noted on yellow copy to indicate approval. |

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| 6.20 | LAS | Determine whether Administrator signature or AA signature on transmittal letter is required. This decision is made based on the LAS' experience, professional judgment, and whether the Administrator's signature is statutorily required. If Administrator signature required, proceed to step 6.21. If AA signature, proceed to step 6.22. |
| 6.21 | LAS | Circulate ADS form for agency clearance of transmittal letter/report. Determination of who has to concur on ADS is made by the LAS and depends on the subject matter of the information as well as the knowledge, experience and judgement of the LAS. Obtain concurrence on ADS (NHQ Form 117). Also note date of OMB approval on ADS. Proceed to step 6.22. |
| 6.22 | Administrator or AA | Obtain signature on letter. |
| 6.23 | Secretary | Forward report to Congress |
| 6.24 | CC | Enter case in HATS and scan into DMS. |
| 6.25 | CC | File hard copy in Code LD file. |

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7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Commitment and Concerns Report	Code LB	Code LD files	Hard Copy	Schedule 1, Item 27-A	Retire to Federal Record Center when 5 years old.
Congressional Action Log	Code LB	Code LB files	Hard Copy	Schedule I, Item 25	Destroy or delete when work is completed or when no longer needed for operating purposes.
OMB approval	Code LB	Code LD files	Hard Copy	Schedule I, Item 28-A	.Retire to Federal Record Center when 5 years old
Completed ADS	Code LB	Code LD files	Hard Copy	Schedule 1, Item 28-A.	Retire to Federal Record Center when 5 years old.
Final Report	Code LB	Code LD files	Hard Copy	Schedule 1, Item 28-A	Retire to Federal Record Center when 5 years old.
Yellow copy of transmittal letter	Code LB	Code LD files	Hard Copy	Schedule 1, Item 28-A	Retire to Federal Record Center when 5 years old.

Appendix A, Congressional Action Log

Congressional Action Log

July 2000